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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/685,924	10/10/2000	Phillip Koh-Kwe Hsu	.4034-62	4729

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EXAMINER

HAYES, JOHN W

ART UNIT PAPER NUMBER

3621

DATE MAILED: 01/14/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/685,924

Applicant(s)

HSU, PHILLIP KOH-KWE

Examiner

John W Hayes

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

### A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 01 November 2004.  
2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1 and 3-15 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 1 and 3-15 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.  
10) ☒ The drawing(s) filed on 10 October 2000 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).  
\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.  
5) ☐ Notice of Informal Patent Application (PTO-152)  
6) ☐ Other: \_\_\_\_\_.

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## **DETAILED ACTION**

### ***Status of Claims***

1. Applicant has amended claims 1 and 14 in the amendment filed 01 November 2004. Claim 2 was previously canceled in the amendment filed 24 September 2003. Thus, claims 1 and 3-15 remain pending and are presented for examination.

### ***Response to Arguments***

2. Applicant's arguments filed 05 February 2004 have been fully considered but they are moot based upon the new grounds of rejection outlined below.

### ***Claim Rejections - 35 USC § 102***

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

4. Claims 1-10, 12 and 14-15 are rejected under 35 U.S.C. 102(e) as being anticipated by Martone et al, U.S. Patent Application Publication No. US 2002/0138389 A1.

As per **Claims 1 and 14**, Martone et al disclose an intranet system comprising:

- an interface application for accessing a plurality of features that correspond to financial service applications that provide information for client prospecting and consulting (Figured 1 and 3; 0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193), at least one internal data source and at least on external data source that a user is entitled to access (Figures 1 and 3; 0065; 0069; 0077; 0149-0150), wherein the internal data source provides information on internal matters to the entity comprising

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information regarding financial products and services provided by the financial service entity (0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193) and the external data source comprises a real-time market data source that provides real-time financial market data (0065; 0069; 0077; 0149-0150), and wherein the data sources provide information for the plurality of financial service applications that provide information for client prospecting and consulting (0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193);

- an authentication system for determining which features of the plurality of features that correspond to applications for client prospecting and consulting and the respective data sources a user is entitled to access (0071; 0072; 0075; 0094-0097; 0122), wherein the features comprise a real-time market application for accessing real-time market quotes provided by the external data source (0065; 0069; 0077; 0149-0150), and an application for accessing information regarding financial products and services provided by the financial service entity provided by the internal data source (0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193);

displaying a list of the features corresponding to the plurality of financial service applications that provide information for client prospecting and consulting available to the user based on entitlement (0071; 0072; 0075; 0094-0097; 0101; 0114; 0122);

displaying in response to a user selecting an available feature, the information provided by the financial service application corresponding to the selected feature (0122; 0137), wherein the information provided comprises the information regarding financial products and services provided by the financial service entity (0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193), and the real-time market quote data supplied by the data sources (0065; 0069; 0077; 0149-0150);

setting a user specified preference profile, the authentication system allowing a user to access features according to entitlement (0074; 0097)); and

accessing the user preference profile to provide a user customized interface independent of the user's location (0101; 0119).

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As per **Claim 3**, Martone et al further disclose wherein the feature includes a financial service application such as marketing support, consultative services, operations, research, legal, divisions, employment and training (Figures 1, 3 and 13; 0011; 0069; 0139; 0144; 0160; 0163-0171; 0176; 0191-0193).

As per **Claim 4**, Martone et al further disclose wherein the interface application includes global functions selections (Figures 8B and 9; 0101; 0119; 0122).

As per **Claim 5**, Martone et al further disclose wherein the interface application further includes a scratchpad application for moving information between displays (0069).

As per **Claim 6**, Martone et al further disclose wherein the authentication system populates the interface application based on user entitlements (0071; 0072; 0075; 0094-0097; 0122).

As per **Claim 7**, Martone et al further disclose wherein the authentication system provides access to the system using a single log-on process (0071; 0086; 0097).

As per **Claim 8**, Martone et al further disclose a data source content management application (0069; 0074; 0177).

As per **Claim 9**, Martone et al further disclose wherein the authentication system determines a user entitlement level to access the content management application (0069; 0074; 0177).

As per **Claim 10**, Martone et al further disclose wherein the authentication system allows access at a content provider level and an administrator level (0073; 0098; 0177)

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As per **Claims 12 and 15**, Martone et al further disclose wherein the content management application includes an administrator system for managing content of the internal data source (0073; 0098; 0177).

***Claim Rejections - 35 USC § 103***

5. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

6. Claim 13 is rejected under 35 U.S.C. 103(a) as being unpatentable over Martone et al, U.S. Patent Application Publication No. US 2002/0138389 A1.

As per **Claim 13**, Schneider et al fail to explicitly disclose wherein the administrator system controls movement of data between the production database, the staging database and the archive database, however, examiner takes Official Notice that it was well known in the art at the time of applicant's invention to allow an administrator of network to move data from one database to another in order to structure the data as necessary to implement company policies. Examiner would also like to point out that Official Notice was used in the rejection of this claim previously, to indicate that it is old and well known in the art to allow an administrator of network to move data from one database to another in order to structure the data as necessary to implement company policies. Since applicant has not attempted to traverse this Official Notice statement, examiner is taking the common knowledge or well-known statement to be admitted prior art.

7. Claim 11 is rejected under 35 U.S.C. 103(a) as being unpatentable over Martone et al, U.S. Patent Application Publication No. US 2002/0138389 A1 in view of Baber et al, U.S. Patent No. 6,195,696 B1,

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As per **Claim 11**, Martone et al fail to explicitly disclose wherein the content management application includes a content converter. Baber et al disclose a system and method for assigning, generating and delivering content to intranet users and further teach controlling access to certain content by an administrator as well as a user specified preference profile to provide a user customized interface independent of the user's location (Col. 3, lines 5-19 and 40-45; Col. 9, lines 35-47; Col. 9 line55-Col. 10 line 12). Baber et al further disclose rules for transforming content into a format best suited for a particular device (Col. 10, lines 18-23). It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to modify the method of Martone et al and include a means for converting the content as taught by Baber in order to present the content to the client in a form that is more useable or to convert the data to a format useable by the particular application the user is using to display the information.

### **Conclusion**

8. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

9. **Examiner's Note:** Examiner has cited particular columns and line numbers in the references as applied to the claims below for the convenience of the applicant. Although the specified citations are representative of the teachings in the art and are applied to the specific limitations within the individual

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claim, other passages and figures may apply as well. It is respectfully requested from the applicant, in preparing the responses, to fully consider the references in entirety as potentially teaching all or part of the claimed invention, as well as the context of the passage as taught by the prior art or disclosed by the examiner.

10. The prior art previously made of record and not relied upon is considered pertinent to applicant's disclosure

- Kitain et al disclose an information delivery system and teach restricting access to certain types of information such as corporate information
- Cook discloses an access network authorization system and teach controlling access to certain content by employees such as a bank employee who desires access to a stock quote
- Khemlani et al disclose a website for financial information and teach a means for customizing and distributing access rights to users of restricted information including stock quotes and scrolling tickers
- Moshfeghi et al disclose a system for personalizing intranet web sites based upon user's needs, preferences and access privileges
- Bowman-Amuah discloses a system for creating views of information in an intranet system for particular users and further teaches customizing application interfaces for specific business applications as well as restricting access to functions within an application based upon a user security level
- Guheen et al disclose a system including a web application entitlement module for restricting access to specific web applications based upon user privileges
- Regnier et al disclose a client server system having control of client-based applications and teach that restrictions can be enforced by changing the program's own interface to the user under control of that user's profile
- Livnat discloses a system and method for controlled access to clients attempting to access stored on a network



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11. Any inquiry concerning this communication or earlier communications from the examiner should be directed to John Hayes whose telephone number is (703)306-5447. The examiner can normally be reached Monday through Friday from 5:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Jim Trammell, can be reached on (703) 305-9768.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the **Receptionist** whose telephone number is **(703) 305-3900**. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://portal.uspto.gov/external/portal/pair> . Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

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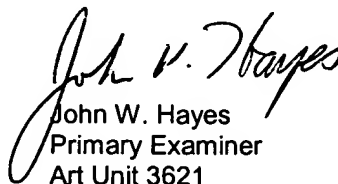
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Hand delivered responses should be brought to Crystal Park 5, 2451 Crystal Drive, Arlington,  
VA, 7<sup>th</sup> floor receptionist.

  
John W. Hayes  
Primary Examiner  
Art Unit 3621

January 12, 2005